

# House Resolution 7 - Introduced

HOUSE RESOLUTION NO. 7  
BY COMMITTEE ON ETHICS  
(SUCCESSOR TO HSB 77)

1 A Resolution relating to the code of ethics of the  
2 House of Representatives for the Ninetieth General  
3 Assembly.

4 BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES, That  
5 the House Code of Ethics shall be as follows:

6 HOUSE CODE OF ETHICS

7 PREAMBLE. Every legislator and legislative employee  
8 has a duty to uphold the integrity and honor of the  
9 general assembly, to encourage respect for the law  
10 and for the general assembly, and to observe the house  
11 code of ethics. The members and employees of the house  
12 have a responsibility to conduct themselves so as to  
13 reflect credit on the general assembly, and to inspire  
14 the confidence, respect, and trust of the public. The  
15 following rules are adopted pursuant to chapter 68B of  
16 the Code, to assist the members and employees in the  
17 conduct of their activities:

18 1. DEFINITIONS. The definitions of terms provided  
19 in chapter 68B of the Code apply to the use of those  
20 terms in these rules.

21 2. ECONOMIC INTEREST OF MEMBER OR EMPLOYEE OF  
22 HOUSE.

23 a. *Economic or investment opportunity.* A member  
24 or employee of the house shall not solicit or accept  
25 economic or investment opportunity under circumstances  
26 where the member or employee knows, or should know,  
27 that the opportunity is being afforded with the intent

1 to influence the member's or employee's conduct in  
2 the performance of official duties. If a member  
3 or employee of the house learns that an economic  
4 or investment opportunity previously accepted was  
5 offered with the intent of influencing the member's or  
6 employee's conduct in the performance of the official  
7 duties, the member or employee shall take steps to  
8 divest that member or employee of that investment or  
9 economic opportunity, and shall report the matter  
10 in writing to the chairperson of the house ethics  
11 committee.

12     b. *Excessive charges for services, goods, or*  
13 *property interests.* A member or employee of the  
14 house shall not charge to or accept from a person  
15 known to have a legislative interest, a price, fee,  
16 compensation, or other consideration for the sale or  
17 lease of any property or the furnishing of services  
18 which is in excess of that which the member or employee  
19 would ordinarily charge another person.

20     c. *Use of confidential information.* A member or  
21 employee of the house, in order to further the member's  
22 or employee's own economic interests, or those of any  
23 other person, shall not disclose or use confidential  
24 information acquired in the course of the member's or  
25 employee's official duties. For the purpose of this  
26 rule, information disclosed in open session at a public  
27 meeting and information that is a public record is not  
28 confidential information.

29     d. *Employment.* A member or employee of the house  
30 shall not accept employment, either directly or

1 indirectly, from a political action committee. A  
2 member of the house shall not act as a paid lobbyist  
3 for any organization. However, this paragraph shall  
4 not prohibit a member or employee of the house from  
5 working for a candidate's committee, a political  
6 party's action committee, or a political action  
7 committee which does not expressly advocate the  
8 nomination, election, or defeat of a candidate for  
9 public office in this state or expressly advocate the  
10 passage or defeat of a ballot issue in this state and  
11 which is not interested in issues before the general  
12 assembly.

13 For the purpose of this rule, a political action  
14 committee means a committee, but not a candidate's  
15 committee, which accepts contributions, makes  
16 expenditures, or incurs indebtedness in the aggregate  
17 of more than one thousand dollars in any one calendar  
18 year to expressly advocate the nomination, election, or  
19 defeat of a candidate for public office or to expressly  
20 advocate the passage or defeat of a ballot issue or for  
21 the purpose of influencing legislative action.

22 e. *Solicitation of employment as lobbyist.* A member  
23 or employee of the house shall not solicit employment  
24 on behalf of the member or employee, or on behalf of  
25 another legislator or employee, as a lobbyist while the  
26 general assembly is in session.

27 f. *Certain goods or services.* A member or employee  
28 of the house shall not solicit or obtain goods or  
29 services from another person under circumstances where  
30 the member or employee knows or should know that the

1 goods or services are being offered or sold with the  
2 intent to influence the member's or employee's conduct  
3 in the performance of official duties. If a member  
4 or employee of the house is afforded goods or services  
5 by another person at a price that is not available to  
6 other members or classes of members of the general  
7 public or is afforded goods or services that are not  
8 available to other members or classes of members  
9 of the general public by another person where the  
10 member or employee knows or should know that the other  
11 person intends to influence the member's or employee's  
12 official conduct, the member or employee shall not take  
13 or purchase the goods or services.

14 3. APPEARANCE BEFORE STATE AGENCY. A member or  
15 employee of the house may appear before a state agency  
16 in any representation case but shall not act as a  
17 lobbyist with respect to the passage, defeat, approval,  
18 veto, or modification of any legislation, rule, or  
19 executive order. Whenever a member or employee of  
20 the house appears before a state agency, the member  
21 or employee shall carefully avoid all conduct which  
22 might in any way lead members of the general public  
23 to conclude that the member or employee is using the  
24 member's or employee's official position to further the  
25 member's or employee's professional success or personal  
26 financial interest.

27 4. CONFLICTS OF INTEREST. In order for the general  
28 assembly to function effectively, members of the house  
29 may be required to vote on bills and participate in  
30 committee work which will affect their employment and

1 other areas in which they may have a monetary interest.  
2 Action on bills and committee work which furthers a  
3 member's specific employment, specific investment, or  
4 other specific interest, as opposed to the interests of  
5 the public in general or the interests of a profession,  
6 trade, business, or other class of persons, shall be  
7 avoided. In making a decision relative to a member's  
8 activity on particular bills or in committee work, the  
9 following factors should be considered:

10 a. Whether a substantial threat to the member's  
11 independence of judgment has been created by the  
12 conflict situation.

13 b. The effect of the member's participation on  
14 public confidence in the integrity of the general  
15 assembly.

16 c. Whether the member's participation is likely to  
17 have any significant effect on the disposition of the  
18 matter.

19 d. The need for the member's particular  
20 contribution, such as special knowledge of the subject  
21 matter, to the effective functioning of the general  
22 assembly.

23 If a member decides not to participate in committee  
24 work or to abstain from voting because of a possible  
25 conflict of interest, the member should disclose  
26 this fact to the legislative body. The member shall  
27 not vote on any question in which the member has an  
28 economic interest that is distinguishable from the  
29 interests of the general public or a substantial class  
30 of persons.

1 5. STATUTORY REQUIREMENTS. Members and employees  
2 of the house shall comply with the requirements  
3 contained in chapters 68B (Government Ethics and  
4 Lobbying), 721 (Official Misconduct), and 722 (Bribery  
5 and Corruption), and sections 2.18 (Contempt) and 711.4  
6 (Extortion) of the Code.

7 6. CHARGE ACCOUNTS. Members and employees of the  
8 house shall not charge any amount or item to a charge  
9 account to be paid for by a lobbyist or any client of a  
10 lobbyist.

11 7. TRAVEL EXPENSES. A member or employee of the  
12 house shall not charge to the state of Iowa amounts  
13 for travel and expenses unless the member or employee  
14 actually has incurred those mileage and expense costs.  
15 Members or employees shall not file the vouchers for  
16 weekly mileage reimbursement required by section 2.10,  
17 subsection 1 of the Code, unless the travel expense was  
18 actually incurred.

19 A member or employee of the house shall not file  
20 a claim for per diem compensation for a meeting of  
21 an interim study committee or a visitation committee  
22 unless the member or employee attended the meeting.  
23 However, the speaker may waive this provision and allow  
24 a claim to be filed if the member or employee attempted  
25 to attend the meeting but was unable to do so because  
26 of circumstances beyond the member's or employee's  
27 control.

28 8. GIFTS ACCEPTED OR RECEIVED. Members and  
29 employees of the house shall comply with the  
30 restrictions relating to the receipt or acceptance

1 of gifts contained in section 68B.22 of the Code.  
2 The sponsor of a function under section 68B.22,  
3 subsection 4, paragraph "s", shall electronically  
4 file a registration with the chief clerk of the house  
5 five days prior to the function disclosing the name of  
6 the sponsor, and the date, time, and location of the  
7 function. The sponsor shall also electronically file a  
8 report of expenditures as required pursuant to section  
9 68B.22, subsection 4, paragraph "s".

10 9. HONORARIA RESTRICTIONS. Members and employees  
11 of the house shall comply with the restrictions  
12 relating to the receipt of honoraria contained in  
13 section 68B.23 of the Code.

14 10. DISCLOSURE REQUIRED. Each member of the  
15 house and the chief clerk of the house shall file the  
16 personal financial disclosure statements required under  
17 section 68B.35 of the Code by February 15 of each year  
18 for the prior calendar year.

19 11. HARASSMENT — SEXUAL HARASSMENT — RETALIATION.  
20 Members and employees of the house shall not engage in  
21 conduct which constitutes harassment, including sexual  
22 harassment as defined in section 19B.12 of the Code, or  
23 retaliation, or conduct that is prohibited pursuant to  
24 any harassment policy adopted by the house committee  
25 on administration and rules. Harassment is a form of  
26 discrimination based on any protected basis, including  
27 race, color, national origin, religion, sex, pregnancy,  
28 physical or mental disability, age, marital status,  
29 veteran status, gender identity, sexual orientation,  
30 or any other characteristic protected by law, including

1 the federal Civil Rights Act of 1964, the federal Age  
2 Discrimination in Employment Act of 1967, the federal  
3 Americans with Disabilities Act of 1990, and chapter  
4 216 of the Code. Harassment of an individual based  
5 on any protected basis is unlawful if submission to  
6 or rejection of such conduct by an individual is made  
7 the basis for an employment decision affecting the  
8 individual or if such conduct is sufficiently severe  
9 or pervasive to create a hostile work environment.  
10 Members and employees of the house shall not engage  
11 in conduct which constitutes unlawful harassment  
12 or discrimination based on any protected basis, or  
13 retaliation for reporting harassment or discrimination,  
14 threatening to report harassment or discrimination,  
15 or participating in a harassment or discrimination  
16 investigation.

17 12. COMPLAINTS.

18 a. *Filing of complaint.* Complaints may be filed by  
19 any person believing that a member or employee of the  
20 house, a lobbyist, or a client of a lobbyist is guilty  
21 of a violation of the house code of ethics, the joint  
22 rules governing lobbyists, or chapter 68B of the Code.

23 b. *Complaints by committee.* The ethics committee  
24 may initiate a complaint on its own motion. Committee  
25 complaints may be initiated by the committee as a  
26 result of a committee investigation or as a result of  
27 receipt of any complaint or other information that does  
28 not meet the requirements of these rules regarding the  
29 form of a complaint but that contains allegations that  
30 would form the basis for a valid complaint.

1 c. *Form and contents of complaint.* A complaint  
2 shall be in writing.

3 Complaint forms shall be available from the chief  
4 clerk of the house, but a complaint shall not be  
5 rejected for failure to use the approved form if it  
6 complies with the requirements of these rules. The  
7 complaint shall contain a certification made by the  
8 complainant, under penalty of perjury, that the facts  
9 stated in the complaint are true to the best of the  
10 complainant's knowledge.

11 To be valid, a complaint shall allege all of the  
12 following:

13 (1) Facts, that if true, establish a violation of  
14 a provision of chapter 68B of the Code, the house code  
15 of ethics, or joint rules governing lobbyists for which  
16 penalties or other remedies are provided.

17 (2) That the conduct providing the basis for the  
18 complaint occurred within three years of the filing of  
19 the complaint.

20 (3) That the party charged with a violation is  
21 a party subject to the jurisdiction of the ethics  
22 committee.

23 d. *Confidentiality of complaint.* The identity of  
24 the parties and the contents of the complaint shall  
25 be confidential until the time that the committee  
26 chairperson and ranking member determine under  
27 paragraph "f" that the complaint is sufficient as  
28 to form, unless either the complainant or the party  
29 charged in the complaint makes the identity of the  
30 parties, or the information contained in the complaint,

1 public. The chief clerk of the house and the committee  
2 chairperson and ranking member may communicate  
3 confidentially with appropriate legislative staff  
4 during any stage of the complaint process.

5 e. *Notice of complaint.* Upon receipt of the  
6 complaint, the chief clerk of the house shall promptly  
7 notify the chairperson and ranking member of the  
8 ethics committee that a complaint has been filed and  
9 provide both the chairperson and the ranking member  
10 with copies of the complaint and any supporting  
11 information. Within two working days, the chief clerk  
12 shall send notice, either by personal delivery or by  
13 certified mail, return receipt requested, to the person  
14 or persons alleged to have committed the violation,  
15 along with a copy of the complaint and any supporting  
16 information. The notice to the accused person shall  
17 contain a request that the person submit a written  
18 response to the complaint within ten working days of  
19 the date that the notice was sent by the chief clerk.  
20 At the request of the accused person, the committee may  
21 extend the time for the response, not to exceed ten  
22 additional calendar days. A response to a complaint  
23 shall not be confidential.

24 f. *Hearing regarding validity of complaint.* The  
25 committee chairperson and the ranking member shall  
26 review the complaint and supporting information to  
27 determine whether the complaint meets the requirements  
28 as to form. If the complaint is deficient as to form,  
29 the complaint shall be returned to the complainant  
30 with instructions indicating the deficiency. If the

1 complaint is in writing, is sufficient as to form,  
2 and contains the appropriate certification, as soon  
3 as practicable, the chairperson shall call a meeting  
4 of the committee to review the complaint to determine  
5 whether the complaint meets the requirements for  
6 validity and whether the committee should take action  
7 on the complaint pursuant to paragraph "g" or whether  
8 the committee should request that the chief justice  
9 of the supreme court appoint an independent special  
10 counsel to conduct an investigation to determine  
11 whether probable cause exists to believe that a  
12 violation of the house code of ethics, joint rules  
13 governing lobbyists, or chapter 68B of the Code, has  
14 occurred. The sufficiency as to form determination  
15 and the valid complaint requirements determination  
16 shall be based solely upon the original complaint and  
17 the response to the complaint. Additional documents  
18 or responses shall not be filed by the parties or  
19 otherwise considered by the committee prior to a  
20 validity determination. The committee shall not  
21 receive or consider oral testimony in support of or  
22 against a validity determination.

23 If the committee finds that a complaint does not  
24 meet the content requirements for a valid complaint,  
25 the committee shall dismiss the complaint and notify  
26 both the complainant and the party alleged to have  
27 committed the violation of the dismissal and the  
28 reasons for dismissal. A dismissal for failure to meet  
29 the formal requirements for the filing of a complaint  
30 shall be without prejudice and the complainant may

1 refile the complaint at any time within three years  
2 of the date that the alleged violation took place. If  
3 the dismissal is based upon a failure to allege facts  
4 and circumstances necessary for a valid complaint, the  
5 dismissal shall be with prejudice and the party shall  
6 not be permitted to file a complaint based upon the  
7 same facts and circumstances.

8 g. *Action on undisputed complaint.* If the committee  
9 determines a complaint is valid and determines no  
10 dispute exists between the parties regarding the  
11 material facts that establish a violation, the  
12 committee may take action on the complaint under this  
13 paragraph without requesting the appointment of an  
14 independent special counsel.

15 The committee may do any of the following:

16 (1) Issue an admonishment to advise against the  
17 conduct that formed the basis for the complaint and to  
18 exercise care in the future.

19 (2) Issue an order to cease and desist the conduct  
20 that formed the basis for the complaint.

21 (3) Make a recommendation to the house that  
22 the person subject to the complaint be censured or  
23 reprimanded.

24 h. *Request for appointment of independent special*  
25 *counsel.* If, after review of the complaint and any  
26 response made by the party alleged to have committed  
27 the violation, the committee determines that the  
28 complaint meets the requirements for form and content  
29 and the committee has not taken action under paragraph  
30 "g", the committee shall request that the chief justice

1 of the supreme court appoint independent special  
2 counsel to investigate the matter and determine whether  
3 probable cause exists to believe that a violation of  
4 chapter 68B of the Code, the house code of ethics, or  
5 the joint rules governing lobbyists has occurred.

6 i. *Receipt of report of independent special counsel.*

7 The report from the independent special counsel  
8 regarding probable cause to proceed on a complaint  
9 shall be filed with the chief clerk of the house.

10 Upon receipt of the report of the independent special  
11 counsel, the chief clerk shall notify the chairperson  
12 of the filing of the report and shall send copies of  
13 the report to the members of the ethics committee. As  
14 soon as practicable after the filing of the report, the  
15 chairperson shall schedule a public meeting for review  
16 of the report. The purpose of the public meeting  
17 shall be to determine whether the complaint should be  
18 dismissed, whether a formal hearing should be held on  
19 the complaint, or whether other committee action is  
20 appropriate. The complainant and the person alleged to  
21 have committed the violation shall be given notice of  
22 the public meeting, shall have the right to be present  
23 at the public meeting, and may, at the discretion  
24 of the committee, present testimony in support of or  
25 against the recommendations contained in the report.

26 If the committee determines that the matter should  
27 be dismissed, the committee shall cause an order to  
28 be entered dismissing the matter and notice of the  
29 dismissal shall be given to the complainant and the  
30 party alleged to have committed the violation. If

1 the committee determines that the complaint should be  
2 scheduled for formal hearing, the committee shall issue  
3 a charging statement which contains the charges and  
4 supporting facts that are to be set for formal hearing  
5 and notice shall be sent to the complainant and the  
6 accused person.

7 The notice shall include a statement of the nature  
8 of the charge or charges, a statement of the time and  
9 place of hearing, a short and plain statement of the  
10 facts asserted, and a statement of the rights of the  
11 accused person at the hearing.

12 j. *Formal hearing.* Formal hearings shall be public  
13 and conducted in the manner provided in section 68B.31,  
14 subsection 8 of the Code. At a formal hearing the  
15 accused shall have the right to be present and to  
16 be heard in person and by counsel, to cross-examine  
17 witnesses, and to present evidence. Members of  
18 the committee shall also have the right to question  
19 witnesses.

20 The committee may require, by subpoena or otherwise,  
21 the attendance and testimony of witnesses and the  
22 production of such books, records, correspondence,  
23 memoranda, papers, documents, and any other things it  
24 deems necessary to the conduct of the inquiry.

25 Evidence at the formal hearing shall be received  
26 in accordance with rules and procedures applicable to  
27 contested cases under chapter 17A of the Code.

28 The committee chairperson, or the vice chairperson  
29 or ranking member in the absence of the chairperson,  
30 shall preside at the formal hearing and shall rule on

1 the admissibility of any evidence received. The ruling  
2 of the chairperson may be overturned by a majority  
3 vote of the committee. Independent special counsel  
4 shall present the evidence in support of the charge  
5 or charges. The burden shall be on the independent  
6 special counsel to prove the charge or charges by clear  
7 and convincing evidence. Upon completion of the formal  
8 hearing, the committee shall adopt written findings  
9 of fact and conclusions concerning the merits of the  
10 charges and make its report and recommendation to the  
11 house.

12 k. *Disqualification of member.* Members of the  
13 committee may disqualify themselves from participating  
14 in any investigation of the conduct of another person  
15 upon submission of a written statement that the member  
16 cannot render an impartial and unbiased decision  
17 in a case. A member may also be disqualified by a  
18 unanimous vote of the remaining eligible members of the  
19 committee.

20 A member of the committee is ineligible to  
21 participate in committee meetings, as a member of the  
22 committee, in any proceeding relating to the member's  
23 own official conduct.

24 If a member of the committee is disqualified or  
25 ineligible to act, the majority or minority leader who  
26 appointed the member shall appoint a replacement member  
27 to serve as a member of the committee during the period  
28 of disqualification or ineligibility.

29 l. *Recommendations by the committee.* The committee  
30 shall recommend to the house that the complaint be

1 dismissed, or that one or more of the following be  
2 imposed:

3 (1) That the member or employee of the house  
4 or lobbyist or client of a lobbyist be censured or  
5 reprimanded, and the recommended appropriate form of  
6 censure or reprimand be used.

7 (2) That the member of the house be suspended or  
8 expelled from membership in the house and required  
9 to forfeit the member's salary for that period, the  
10 employee of the house be suspended or dismissed from  
11 employment, or that the lobbyist's or lobbyist's  
12 client's lobbying privileges be suspended.

13 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a  
14 complaint has been filed or an investigation has been  
15 initiated, a party to the complaint or investigation  
16 shall not communicate, or cause another to communicate,  
17 as to the merits of the complaint or investigation with  
18 a member of the committee, except under the following  
19 circumstances:

20 a. During the course of any meetings or other  
21 official proceedings of the committee regarding the  
22 complaint or investigation.

23 b. In writing, if a copy of the writing is  
24 delivered to the adverse party or the designated  
25 representative for the adverse party.

26 c. Orally, if adequate prior notice of the  
27 communication is given to the adverse party or the  
28 designated representative for the adverse party.

29 d. As otherwise authorized by statute, the house  
30 code of ethics, joint rules governing lobbyists, or

1 vote of the committee.

2 14. PERMANENT RECORD. The chief clerk of the house  
3 shall maintain a permanent record of all complaints  
4 filed and any corresponding committee action. The  
5 permanent record shall be prepared by the ethics  
6 committee and shall contain the date the complaint  
7 was filed, name and address of the complainant, name  
8 and address of the accused person, a brief statement  
9 of the charges made, any evidence received by the  
10 committee, any transcripts or recordings of committee  
11 action, and ultimate disposition of the complaint. In  
12 recording the ultimate disposition of a complaint that  
13 is dismissed, the information shall include whether  
14 the complaint was dismissed due to formal insufficiency  
15 or due to a failure to meet the content requirements  
16 of a valid complaint. Except as provided in rule  
17 12, paragraph "d", the chief clerk shall keep each  
18 complaint confidential until public disclosure is made  
19 by the ethics committee.

20 15. MEETING AUTHORIZATION. The house ethics  
21 committee is authorized to meet at the discretion of  
22 the committee chairperson in order to conduct hearings  
23 and other business that properly may come before it.  
24 If the committee submits a report seeking house action  
25 against a member or employee of the house or lobbyist  
26 after the second regular session of a general assembly  
27 has adjourned sine die, the report shall be submitted  
28 to and considered by the subsequent general assembly.

29 16. ADVISORY OPINIONS.

30 a. *Requests for formal opinions.* A request for a

1 formal advisory opinion may be filed by any person who  
2 is subject to the authority of the ethics committee.  
3 The ethics committee may also issue a formal advisory  
4 opinion on its own motion, without having previously  
5 received a formal request for an opinion, on any issue  
6 that is within the jurisdiction of the committee.

7 Requests shall be filed with either the chief clerk of  
8 the house or the chairperson of the ethics committee.

9     *b. Form and contents of requests.* A request for  
10 a formal advisory opinion shall be in writing and  
11 may pertain to any subject matter that is related to  
12 application of the house code of ethics, the joint  
13 rules governing lobbyists, or chapter 68B of the  
14 Code to any person who is subject to the authority of  
15 the ethics committee. Requests shall contain one or  
16 more specific questions and shall relate either to  
17 future conduct or be stated in the hypothetical. A  
18 request for an advisory opinion shall not specifically  
19 name any individual or contain any other specific  
20 identifying information, unless the request relates  
21 to the requester's own conduct. However, any request  
22 may contain information which identifies the kind  
23 of individual who may be affected by the subject  
24 matter of the request. Examples of this latter kind  
25 of identifying information may include references to  
26 conduct of a category of individuals, such as but not  
27 limited to conduct of legislators, legislative staff,  
28 or lobbyists.

29     *c. Confidentiality of formal requests and opinions.*  
30 Requests for formal opinions are not confidential and

1 any deliberations of the committee regarding a request  
2 for a formal opinion shall be public. Opinions issued  
3 in response to requests for formal opinions are not  
4 confidential, shall be in writing, and shall be placed  
5 on file in the office of the chief clerk of the house.  
6 Persons requesting formal opinions shall personally  
7 receive a copy of the written formal opinion that is  
8 issued in response to the request.

9 17. PERSONAL FINANCIAL DISCLOSURE FORM. The  
10 following form shall be used for disclosure of economic  
11 interests under these rules and section 68B.35 of the  
12 Code:

13 STATEMENT OF ECONOMIC INTERESTS

14 Name: \_\_\_\_\_

15 (Last) (First) (Middle Initial)

16 Address: \_\_\_\_\_

17 (Street Address, Apt.#/P.O. Box)

18 \_\_\_\_\_

19 (City)(State)(Zip)

20 Phone:(Home)\_\_\_\_\_/\_\_\_\_\_-\_\_\_\_\_(Business)\_\_\_\_\_/\_\_\_\_\_-\_\_\_\_\_

21 \*\*\*\*\*

22 This form is due each year on or before February 15.  
23 The reporting period is the most recently completed  
24 calendar year. An amended form shall be filed if a  
25 change in business, occupation, or profession reported  
26 in Division I of the form has occurred. The amended  
27 form shall include the date the change took effect and  
28 must be filed within thirty days of the first day of  
29 the change in employment or engagement necessitating  
30 the amended form. If the date of the change occurs

1 between January 1 and February 15, the change shall be  
2 included in the filing due February 15.

3 In completing Division III of this form, if your  
4 percentage of ownership of an asset is less than 100  
5 percent, multiply your percentage of ownership by the  
6 total revenue produced to determine if you have reached  
7 the \$1,000 threshold.

8 Do not report income received by your spouse or  
9 other family members.

10 In completing this form, if insufficient space is  
11 provided for your answer, you may attach additional  
12 information/answers on full-size sheets of paper.

13 Division I. Business, Occupation, or Profession.

14 List each business, occupation, or profession in  
15 which you are engaged, the nature of the business if  
16 not evident, and your position or job title. No income  
17 threshold or time requirement applies.

18 Examples:

19 If you are employed by an individual, state the name  
20 of the individual employer, the nature of the business,  
21 and your position.

22 If you are self-employed and are not incorporated  
23 or are not doing business under a particular business  
24 name, state that you are self-employed, the nature of  
25 the business, and your position.

26 If you own your own corporation, are employed by a  
27 corporation, or are doing business under a particular  
28 business name, state the name and nature of the  
29 business or corporation and your position.

30 1 \_\_\_\_\_

1 2 \_\_\_\_\_  
2 3 \_\_\_\_\_  
3 4 \_\_\_\_\_  
4 5 \_\_\_\_\_  
5 6 \_\_\_\_\_

6 Division II. Commissions from Sales of Goods or  
7 Services to Political Subdivisions.

8 This part is to be completed only by Legislators.  
9 If you received income in the form of a commission  
10 from the sale of goods or services to a political  
11 subdivision, state the name of the purchasing political  
12 subdivision. The amount of commission earned is not  
13 required to be listed.

14 1 \_\_\_\_\_  
15 2 \_\_\_\_\_  
16 3 \_\_\_\_\_  
17 4 \_\_\_\_\_  
18 5 \_\_\_\_\_  
19 6 \_\_\_\_\_

20 Division III. Sources of Gross Income.

21 In each one of the following categories list each  
22 source which produces more than \$1,000 in annual gross  
23 income, if the revenue produced by the source was  
24 subject to federal or state income taxes last year.  
25 List the nature or type of each company, business,  
26 financial institution, corporation, partnership, or  
27 other entity which produces more than \$1,000 of annual  
28 gross income. Neither the amount of income produced  
29 nor value of the holding is required to be listed in  
30 any of the items.

1     A. Securities: State the nature of the business of  
2 any company in which you hold stock, bonds, or other  
3 pecuniary interests that generate more than \$1,000  
4 in annual gross income. Income generated by multiple  
5 holdings in a single company are deemed received from a  
6 single source.

7 \_\_\_\_\_  
8 \_\_\_\_\_  
9 \_\_\_\_\_  
10 \_\_\_\_\_  
11 \_\_\_\_\_  
12 \_\_\_\_\_

13     B. Instruments of Financial Institutions: State  
14 the types of institutions in which you hold financial  
15 instruments, such as certificates of deposit, savings  
16 accounts, etc., that produce annual gross income in  
17 excess of \$1,000, e.g., banks, savings and loans, or  
18 credit unions.

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20 \_\_\_\_\_  
21 \_\_\_\_\_  
22 \_\_\_\_\_  
23 \_\_\_\_\_  
24 \_\_\_\_\_

25     C. Trusts: State the nature or type of any trust  
26 from which you receive more than \$1,000 of gross income  
27 annually.

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29 \_\_\_\_\_  
30 \_\_\_\_\_

1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 \_\_\_\_\_

4 D. Real Estate: State the general nature of real  
5 estate interests that generate more than \$1,000 of  
6 gross income annually, e.g., residential leasehold  
7 interest or farm leasehold interest. The size or  
8 location of the property interest is not required to be  
9 listed.

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11 \_\_\_\_\_  
12 \_\_\_\_\_  
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14 \_\_\_\_\_  
15 \_\_\_\_\_

16 E. Retirement Systems: State the name of each  
17 pension plan or other corporation or company that pays  
18 you more than \$1,000 annually in retirement benefits.

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20 \_\_\_\_\_  
21 \_\_\_\_\_  
22 \_\_\_\_\_  
23 \_\_\_\_\_  
24 \_\_\_\_\_

25 F. Other Income Categories Specified in State and  
26 Federal Income Tax Regulations.

27 \_\_\_\_\_  
28 \_\_\_\_\_  
29 \_\_\_\_\_  
30 \_\_\_\_\_

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1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 (Signature of Filer) (Date)